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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re original application of:

Applicant : LeRoy Dickson, Timothy A. Good, Thomas C. Amundsen, John Groot, C. Harry Knowles, Thomas Carullo  
Serial No. : 09/965,123  
Filed : September 27, 2001  
Title of Invention : DOE-BASED SYSTEMS AND DEVICES FOR PRODUCING LASER BEAMS HAVING MODIFIED BEAM CHARACTERISTICS  
Examiner : n/a  
Group Art Unit : 2872  
Attorney Docket : 108-010USANA0

Honorable Commissioner of Patents  
and Trademarks  
Washington, DC 20231

SUPPLEMENTAL RESPONSE TO NOTICE TO  
FILE CORRECTED APPLICATION PAPERS

Sir:

In supplemental response to the Notice to File Corrected Application Papers mailed in the present Application on March 13, 2002, Applicants submit herewith the following documents:

- Substitute Specification, Claims to Invention, and Abstract of Disclosure;
- Part 2 of the Notice to File Corrected Application Papers; and
- Return Receipt Postcard.

The Commissioner is authorized to charge any fee deficiencies to Deposit Account No. 16-1340.

Respectfully submitted,



Jay P. Sprollini, Esq.  
Reg. No. 36,266  
Attorney for Applicant  
Thomas J. Perkowski, Esq., P.C.  
Soundview Plaza  
1266 East Main Street  
Stamford, Connecticut 06902  
203-357-1950  
<http://www.tjpatlaw.com>

Dated: March 25, 2002

Certificate of Mailing under  
37 C.F.R. 1.08

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Washington, DC 20231



Jay P. Srollini, Esq.

Reg. No. 36,266

Date: March 25, 2002

2025 RELEASE UNDER E.O. 14176

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Washington, DC 20231

**DECLARATION ACCOMPANYING TRANSMITTAL OF  
SUBSTITUTE SPECIFICATION UNDER C.F.R. 1.125**

Sir:

I hereby declare that the Substitute Specification, Claims to Invention, and Abstract of Disclosure transmitted herewith for filing in the above-referenced Application contains no new matter, in accordance with 35 U.S.C. Section 132. The Specification and Claims to Invention contain changes set forth in the Preliminary Amendments filed in the USPTO on September 27, 2001 and March 21, 2002.

The undersigned declares further that all statements made herein are of his own knowledge, are true, and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Jay P. Sbrullini, Esq.  
Attorney for Applicants  
Reg. No. 36,266  
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Dated: March 25, 2002

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Washington, D.C. 20231

Jay P. Soronini, Esq.  
Date: March 25, 2002

Date: March 25, 2002

David Marion 20, 2002



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/965,123	09/27/2001	LeRoy Dickson	108-010USANA0

Thomas J. Perkowski, Esq.  
Thomas J. Perkowski, Esq., P.C.  
Soundview Plaza  
1266 East Main Street  
Stamford, CT 06902

**CONFIRMATION NO. 2028**

**FORMALITIES LETTER**



\*OC00000007627880\*

Date Mailed: 03/13/2002

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:
  - Papers contain improper margins. *Each sheet must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4")*

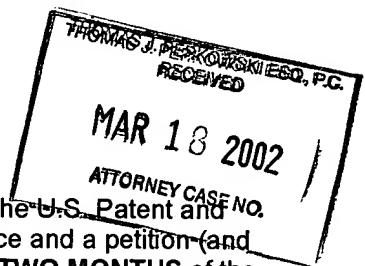
The following item(s) appear to have been omitted from the application:

- Figure(s) 3F3 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h)) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) OR (b)**. In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the



original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabelled drawing figures, is required. Any drawing changes should be accompanied by a copy of the drawing figures showing the proposed changes in red ink. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

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*A copy of this notice **MUST** be returned with the reply.*



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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE